



Receipt
4720
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PATENTS
Attorney Docket No. CF/040

#9

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Andrew C. Gilbert et al.
Application No. : 09/981,565
Confirmation No. : 7706
Filed : October 17, 2001
For : SYSTEMS AND METHODS FOR BID/OFFER
SPREAD TRADING
Group Art Unit : 2164

New York, New York 10020
July 24, 2002

Hon. Commissioner for Patents
P.O. Box 2327
Arlington, Virginia 22202

Attn.: Office of Initial Patent Examination
Customer Service Center

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Enclosed is a copy of an Updated Filing Receipt issued by the United States Patent and Trademark Office on July 16, 2002 in connection with the above-identified patent application. The following error in the Filing Receipt has been noted:

Applicants request acknowledgment of the Rescission of Nonpublication Request filed on February 25, 2002. Copies of the Rescission of Nonpublication Request and the return postcard acknowledging receipt thereof are enclosed herewith. Accordingly, applicants request that this acknowledgment be

reflected in the corrected Filing Receipt and that a projected publication date be provided, as shown on the enclosed marked-up copy of the Filing Receipt.

This error is believed to be the responsibility of the United States Patent and Trademark Office, and thus no fee is believed to be required in connection with this Request. However, if for any reason a fee is due in connection with this Request, please charge that fee to Deposit Account No. 06-1075. A duplicate copy of this Request is enclosed herewith.

Accordingly, prompt issuance of a corrected Filing Receipt is respectfully requested.

Respectfully submitted,

Evelyn C. Mak

Evelyn C. Mak
Registration No. 50,492
Agent for Applicants

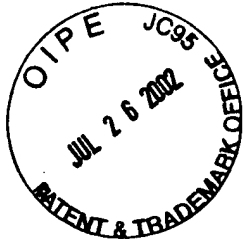
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(212) 596-9000

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July 24, 2002

Lillian Garcia

Lillian Garcia
Signature of Person Signing



#10
TID.
PATENTS
Attorney Docket No. CF/040 09/18/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Andrew C. Gilbert et al.
Application No. : 09/981,565 Confirmation No.: 7706
Filed : October 17, 2001
For : SYSTEMS AND METHODS FOR BID/OFFER SPREAD
TRADING
Group Art Unit : 2164

New York, New York 10020
February 25, 2002

Hon. Commissioner for Patents
Washington, D.C. 20231

RESCISSION UNDER 37 C.F.R. § 1.213(b)
OF NONPUBLICATION REQUEST

Sir:

Pursuant to 37 C.F.R. § 1.213(b), applicants hereby rescind the request, previously filed, that the above-identified patent application not be published under 35 U.S.C. § 122(b).

Respectfully submitted,

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PATENTS P.O. Box 2327
ARLINGTON VA 22202 on

February 25, 2002
Lillian Garcia
Lillian Garcia
Signature of Person Signing

Evelyn C. Mak
Evelyn C. Mak
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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/981,565	10/17/2001	2164	978	CF/040	13	26	2

CONFIRMATION NO. 7706

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FISH & NEAVE
1251 AVENUE OF THE AMERICAS
50TH FLOOR
NEW YORK, NY 10020-1105

UPDATED FILING RECEIPT



OC00000008455697

Date Mailed: 07/16/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Andrew C. Gilbert, Califon, NJ, Deceased;
Mary Ann Gilbert, Califon, NJ, Legal Representative;
Andrew Stergiopoulos, New York, NY, Deceased;
Angela Stergiopoulos, Great Neck, NY, Legal Representative;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/280,668 03/30/2001

Foreign Applications

If Required, Foreign Filing License Granted 11/19/2001

Projected Publication Date: ~~Request for Non-Publication Acknowledged~~

Non-Publication Request: ^{No}~~Yes~~

Early Publication Request: No

RECEIVED

JUL 22 2002

FISH & NEAVE PATENT DEPT.
REFERRED TO ECM
NOTED BY ECM

Title

Systems and methods for bid/offer spread trading

Preliminary Class

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



DOCKET NO.

CF/040

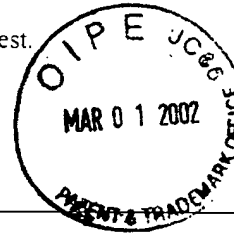
CONFIRMATION NO.

7706

APPLICANT Andrew C. Gilbert et al.

APPLICATION NO. 09/981,565 FILED October 17, 2001

RECEIPT IS HEREBY ACKNOWLEDGED OF THE
Rescission Under 37 C.F.R. 1.213(b) Of Nonpublication Request.



DATED February 25, 2002

ECM: 00741.040

FILED IN CONNECTION WITH THE ABOVE CASE.

COMMISSIONER FOR PATENTS